SOUTH DAKOTA
HOMELAND SECURITY

Homeland Security
Grant Administrative Manual
Updated August 2011

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<u>Section</u>

Introduction

This manual provides guidelines for the administration of federal grants issued through the South Dakota Department of Public Safety, Office of Homeland Security.

The SD Office of Homeland Security administers the following federal Department of Homeland Security grants for the state of South Dakota:

- SHSP – State Homeland Security Program
- IECGP – Interoperable Emergency Communications Grant Program
- CCP – Citizen Corps Program

The SD Office of Homeland Security administers the following federal Department of Justice grants for the state of South Dakota:

- Edward Byrne Memorial Justice Assistance Grant
- John R. Justice Prosecutors and Defenders Incentive Grant

The staff of the SD Office of Homeland Security would be happy to discuss any questions or issues regarding the grants listed above. Please contact this office for more information about grants available through this office.

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General Grant Information

A.   Description

The Office of Homeland Security provides support to state agencies, law enforcement, counties, cities, tribes, and citizens to protect and recover from acts of terrorism and other catastrophic events.

Homeland Security projects supported through this office focus on building protection capabilities across the state, expanding regional collaboration, strengthening interoperable communications, and improving capabilities to detect and respond to hazardous materials and other disasters.

B.   Administration of Federal Funds

Federal departments award funds appropriated by Congress to a State Administrative Agency (SAA) or grantee. For purposes of this administrative manual and the grants noted, the SD Office of Homeland Security is the *SAA*. Recipients of grant awards through this office are referred to as a *subgrantee*.

A portion of the funding the SAA receives through State Homeland Security Grant funds is made available to local governments and agencies through an application and award process. The SAA monitors the progress of subgrantee projects to measure their progress; ensure compliance with the federal requirements, conditions, and purposes of the grant; identify technical assistance needs; and provide guidance for future projects.

The following are standard conditions specific to U.S. Department of Homeland Security grants:

- All federal Department of Homeland Security grant programs must follow the principles of the National Incident Management System (NIMS). NIMS provides standards that ensure compatible equipment, training, and procedures across all responders. Standardization enables independent agencies to work together in an emergency. State Administrative Agencies and subgrantees must be NIMS compliant. Please see the following link for NIMS information http://www.fema.gov/emergency/nims/AboutNIMS.shtm .

- Communication and data system equipment acquired through federal Department of Homeland Security grant programs must be interoperable with the State Radio System. This ensures that independent agencies can communicate when necessary.

- Equipment must be defined as *allowable* under the specific grant program on the Federal Emergency Management Administration (FEMA) Authorized Equipment List (AEL) and must be approved by the SAA.

- Subgrantees must be aware of and adhere to all requirements, special conditions and assurances described in this manual.

- State Homeland Security Grants require a portion of the annual award to be expended on Law Enforcement Terrorism Prevention Programming.

C.   Environmental Planning and Historic Preservation Compliance

Projects involving ground disturbance, communication towers, physical security enhancements, new construction, renovation, and modifications to buildings and structures will be required to meet the requirements of FEMA's Environmental Planning and Historic Preservation (EHP) Program. More information is available at http://www.fema.gov/plan/ehp/index.shtm .

Projects that require EHP approval will receive conditional approval from the SAA until EHP requirements are fulfilled. Work on a project work cannot begin until written EHP approval is received from FEMA; FEMA has sole approval rights.

Subgrantees are required to complete and submit the EHP Screening Form to the SAA with the required photos and other documentation before starting projects that require EHP approval. The SAA will submit the approval request to FEMA; when approval or denial is received, the SAA will notify the subgrantee and the project can begin if approved.

The EHP Screening Memo Form is available on the SD Office of Homeland Security website at http://dps.sd.gov/homeland_security/homeland_security_grants.aspx .

D.   Publications

When subgrantees develop materials for publication, they must submit a plan for publication and distribution of new self-authored commercial publications to the SAA before materials are developed if they will be paid for with federal funds.

All materials produced from grant award activities shall contain an acknowledgement of the federal and state awarding agency funding assistance. For example, if the federal awarding agency is the federal Department of Homeland Security, all materials shall prominently contain the following statement:

> *This document was prepared under a grant from the U.S. Department of Homeland Security and the South Dakota Office of Homeland Security. Points of view or opinions expressed in this document are those of the authors and do not necessarily represent the official position or policies of the U.S. Department of Homeland Security or the State of South Dakota.*

South Dakota Homeland Security Investments

The U.S. Department of Homeland Security has established a Target Capabilities List (TCL), which establishes a guidance to prepare the Nation for major all-hazards events. The TCL describes capabilities related to the four homeland security mission areas: Prevent, Protect, Respond, and Recover. The current version of the TCL contains 37 core capabilities; for more information regarding the TCL, please see http://www.fema.gov/pdf/government/training/tcl.pdf .

Each state selects its priorities for Homeland Security activities from the Target Capabilities List; the South Dakota Homeland Security priorities are defined as *Investments*; the current Investments are described below.

Local Investments (local agencies may apply for the following investments)

- **Interoperable Communications**
  Communications interoperability is the ability of public safety agencies (police, fire, EMS) and service agencies (public works, transportation, hospitals, etc.) to talk within and across agencies and jurisdictions via radio and associated communications systems, exchanging voice, data and/or video with one another on demand, in real time, when needed, and when authorized. It is essential that public safety builds its systems toward interoperability. Radios that are purchased or upgraded under this investment must be digital, P25 compliant, meet narrow banding standards, and be compatible with the State Radio System.

- **Public Notification and Warning**
  Government agencies and public and private sectors receive and transmit coordinated, prompt, useful, and reliable information regarding threats to the public's health, safety, and property, through clear, consistent information-delivery systems. This information is updated regularly and outlines protective measures that can be taken by individuals and their communities.

- **National Infrastructure Protection Plan**
  The National Infrastructure Protection Plan is a nationwide, long-term plan to protect infrastructure through a wide range of activities such as improving security protocols, securing facilities, building resiliency, redundancy, and hazard resistance into facility design, initiating active or passive terrorist countermeasures, implementing cyber security measures, training and exercises, business continuity planning, and restoration and recovery actions.

- **Law Enforcement Information Technology**
  Law Enforcement Information Technology includes a broad range of activities undertaken by law enforcement and related entities to detect, examine, probe, investigate, and conduct operations related to potential terrorist activities. Current and emerging investigative techniques are used with an emphasis on training, legal frameworks, recognition of indications and warnings, source development, interdiction, and related issues specific to antiterrorism activities. Law enforcement is an integral part of the state's Joint Terrorism Task Force and the State Fusion Center which provides intelligence gathering and leads terrorism threat investigations.

- **Chemical, Biological, Radiological, Nuclear and Explosive**
  Detection of Chemical, Biological, Radiological, Nuclear, and Explosives (CBRNE) includes the ability to detect CBRNE materials at points of manufacture, transportation, and use. Critical tasks and preparedness measures must be applied separately to each CBRNE agent.

  The CBRNE Detection capability includes technology, as well as the capacity to recognize potential CBRNE threats through equipment, education, and effective protocols. Training, communication, close coordination with key partners, including intelligence, law enforcement, public safety, public health, and international partners, and public and private sector awareness of CBRNE threats are all recognized as critical partners for this capability.

  The Automated Critical Asset Management System (ACAMS) and the four regional response teams may be supported through this investment.

State Investments (administered by the SD Office of Homeland Security)

- **Agriculture**
  Agriculture safety and defense is the capability to prevent, protect against, respond to, and recover from chemical, biological and radiological contaminants, and other hazards that affect the safety of food and agricultural products. This includes appropriate laboratory surveillance to detect human food borne illness or food product contamination; disposal of affected food or agricultural products and appropriate decontamination procedures.

- **Fusion Center**
  Gathering and dissemination of intelligence information is collected by the State Fusion Center, which manages the development and flow of information and intelligence across all levels and sectors of government and the private sector on a continual basis. The goal of sharing and dissemination is to get the right information to the right people at the right time. Information is conveyed to the Federal, State, local, and tribal layers of government, the private sector, and citizens.

- **Community Preparedness and Preparation**
  The goal of the Community Preparedness and Participation (CCP) investment is to develop a household preparedness plan, provide disaster supply kits, observe home health and safety practices, implement disaster mitigation measures, and participate in crime prevention and reporting.

  CCP teams support local law enforcement, fire, emergency medical services, community public health efforts, and the four stages of emergency management: prevention, mitigation, response, and recovery efforts.

  The SD Office of Emergency Management administers the Citizen Corps Program. For more information see the following link or call 605 773-3231:
  http://dps.sd.gov/emergency_services/emergency_management/citizen_corps.aspx

Subgrantee Application Process

A. **General**

An application for funding through the SAA must be completed and submitted by the deadline set by the SAA. Grant programs may require specific applications.

B. **Performance Period**

The SAA determines the performance period of the grant for the subgrantees which will be stated in the application guidance.

C. **Application Submittal**

Applications will be reviewed for completeness, adherence to both federal and state requirements, and whether or not the request is consistent with and supportive of the mission of the SD Office of Homeland Security. The applicant will be contacted by phone, fax or email, to answer questions or address concerns about the application.

D. **Subgrantee Application Process**

During the open application period, the application will be available on the SD Office of Homeland Security website and distributed via email, mail, and posted on the http://dps.sd.gov/homeland_security/homeland_security_grants.aspx .

The SAA will not accept ineligible, illegible, or incomplete grant applications for review.

E. **Application Reviews**

The SAA will evaluate applications; the merits of the application will include, but not necessarily be limited to:

- Compliance with all applicable federal guidelines.
- Whether or not the project is consistent with and supportive of the overall mission of the SD Office of Homeland Security, state priorities, and national priorities.
- Probability that the funded project will achieve its goals and objectives to increase the target capabilities of the subgrantee.
- Fiscal and programmatic capabilities.
- Certification that federal funds will not be used to supplant or replace state or local funds.
- Coordination of efforts with state and local jurisdictions and federal grant programs.

Grant Award

A. Award

The SD Office of Homeland Security will notify subgrantees of grant awards.

B. Donations or Contribution of Funds

Federal grant award subgrantees are not authorized to donate or contribute funds as per 2 CFR Part 225 (OMB Circular A-87) which states,

> *Donations and contributions rendered.* Contributions or donations, including cash, property, and services, made by the governmental unit, regardless of the recipient, are unallowable.

C. Timelines for Projects

Subgrantees must describe a timeline for completion or acquisition of all projects in the application. In the event that a project is delayed, the SAA may cancel the project with de-obligation of funds and re-allocation to another subgrantee for other projects.

D. Revisions

A subgrantee may request a revision of their grant project activities with the exception of competitive applications. Non-competitive projects may be approved for revision at the discretion of the SAA. The subgrantee must submit a *Grant Project Revision Request* form to the SAA, the form is available on the SD Office of Homeland Security website at http://dps.sd.gov/homeland_security/homeland_security_grants.aspx .

Projects that have received an award under a competitive application process cannot change the scope of the programmatic activities or purpose of the project.

E. Re-allocation of Unspent Funds

Federal law mandates that unspent federal funds must be returned to the federal government at the end of the grant period. Consequently, the SAA will de-obligate and re-allocate unspent funds when sufficient time remains in the grant period for the expenditure of funds to complete new projects. Unfunded projects that were received in the original grant application will be given consideration for funding with re-allocated dollars. Re-allocated funds will be awarded on a competitive basis.

F. Grant Extensions

Requests for an extension to the grant period from subgrantees will be limited to circumstances that are beyond the control of the subgrantee; extensions must be requested in writing to the SAA.

Section 5

Procurement

A. **Overview**

Counties and cities must follow their county or city procurement procedures provided they are compliant with the Code of Federal Regulations (CFR) and federal Office of Management and Budget (OMB) policies. Federal procurement guidelines apply to all expenditures, including but not limited to, contracts and leases, equipment, services, and supplies.

In all cases, selection of other than the lowest bidder must be fully justified. All procurement transactions, whether on state or federal contracts or competitively bid, without regard to dollar value, will be conducted to provide maximum open and free competition.

B. **Excluded Parties List**

Federal funds cannot be paid to any person or organization on the Excluded Parties List (EPLS). The Federal government maintains the www.epls.gov website to track individuals and companies that are prohibited from doing business with the Federal government. For any contract or payment $25,000 or over, subgrantees must check the EPLS before entering into an agreement or contract.

When checking the EPLS for a potential contractor, it is recommended that you print the report and save the page to an EPLS file. During an audit, the report will provide documentation of checking vendors or consultants against the EPLS list.

Subgrantees are required to be avoid conflicts of interest or noncompetitive practices which may restrict or eliminate competition or otherwise restrain trade. Contractors who develop or draft specifications, requirements, statements of work and/or Requests for Proposal (RFP) for a proposed procurement must be excluded from bidding or submitting a proposal to compete for the award of such procurement as such involvement provides an advantage over other bidders. Please see the following link for more information on procurement: 44 CFR 13.36 Procurement .

C. The SAA and subgrantees shall use procurement procedures and regulations that conform to applicable federal law and standards shown below; for more information, see http://149.168.212.15/mitigation/Library/44_CFR-Part_13.pdf .

- CFR Title 2 Part 215 Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations (OMB A-110)
- CFR Title 2 Part 220 Cost Principles for Educational Institutions (OMB Circular A-21)
- CFR Title 2 Part 225 Cost Principles for State, Local and Indian Tribal Governments (OMB Circular A-87)
- CFR Title 2 Part 230 Cost Principles for Non-Profit Organizations (OMB Circular A-122)
- CFR Title 44 Part 13 Section 36 Procurement
- CFR Title 48 Part 31 For-profit Organizations
- OMB Circular A-102 Grants and Cooperative Agreements With State and Local Governments
- OMB Circular A-133 Audits of States, Local Governments and Non-Profit Organizations

D.   General Bidding Policy

Subgrantees must comply with proper competitive bidding procedures.

1. Items Requiring Federal Approval

    Although items may be on federal and/or state contracts, subgrantees must receive prior written approval from the SAA and federal awarding agency for those items which require prior federal approval (e.g. vehicles, boats, helicopters, etc). The SAA will notify the subgrantee when a determination has been received from the federal awarding agency.

2. Purchasing Items From Federal and State Contract Lists

    If an item(s) is purchased from the U.S. General Services Administration (GSA) Schedule 70 or GSA Schedule 84 or a state contract, no additional bidding is required unless permission to procure is required by federal guidance (e.g. vehicles, boats, helicopters, etc). Information on items that are on the GSA Schedule may be found at www.gsaschedule.com .

    Information on items that are on state contract can be found on the South Dakota Office of Procurement website at www.state.sd.us/boa/opm/ . Items purchased through South Dakota state surplus are exempt from any additional bidding process.

    Subgrantees including state agencies and local governments who perform their own procurement must include the federal and/or state contract number on the invoice when submitting for reimbursement.

3. Pre–approval must be requested for any contracts to ensure compliance with state and federal procurement and contract guidelines and that required federal clauses are incorporated. Monitoring the contractor for compliance and performance is the responsibility of the subgrantee.

4. Sole Source Procurement

    Use of sole source procurement is discouraged. If, after completion of the competitive bidding process, only one responsive bid is received (less than two complete competitive bids received), then this is a sole source procurement (based on 44 CFR § 13.36). All sole source procurements require prior written approval of the SAA.

E.   Procurement - Government Agencies Without Procurement Policy or Non-Government

Local governments should use their own procurement policy. If they do not have a policy, they must use the State Procurement Policy. The following is an outline of the State Procurement Policy and it applies to local government subgrantees without a procurement policy and non-government subgrantees.

<u>Goods and Services</u>

1. Agencies may make purchases of goods or services that do not exceed $4,000 and are not available on a state contract by using their best discretion to obtain the best value for the taxpayers;

2. Agencies may make purchases of goods or services not exceeding $25,000 and not available on a state contract by obtaining three written proposals.

3. Agencies may make purchases of goods or services exceeding $25,000 by advertising for competitive sealed proposals in compliance with South Dakota Codified Law 5-18.

4. Agencies may make purchases of goods or services from active contracts that have been awarded by any government entity by competitive sealed bids or proposals, or any contract that was competitively solicited and awarded by any government entity within the previous twelve months.

5. Make purchases from contracts issued by the United States General Services Administration (GSA) that are open to state and local government purchasing.

Printing

A. Printing less than $1,000 can be purchased from one quote.

B. Printing $1,000 - $25,000 requires written proposals from at least three (3) qualified sources. Proposals must include shipping. Justification will be required if the lowest quote is not accepted.

C. Printing greater than $25,000 requires the agency to advertise for competitive sealed proposals.

F.   Documentation

All documentation of Request for Proposals, bids, and proposals must be maintained in the subgrantee's files. Documentation must be made available to the SAA or any of its duly authorized representatives upon request.

In order to receive reimbursement for these purchases, the subgrantee must submit a Payment Request Form to the SAA, or regional emergency management agency if applicable, along with the quote(s) and the invoice from the chosen vendor.

G.   Equipment and/or Non-expendable Supplies

1. Under federal Department of Homeland Security grant guidelines, equipment must be "allowable" on the Approved Equipment List (AEL) at www.rkb.us under the appropriate grant program.

    In addition, all equipment must be approved by the SD Office of Homeland Security to be reimbursed and the purpose of the equipment linked to a South Dakota Homeland Security Investment Justification.

    Requests for vehicles, trailers, etc., must have written approval from the U.S. Department of Homeland Security. This approval process will be coordinated by the SAA.

2. Requested equipment that is not listed as allowable on the AEL may only be purchased after receiving a written waiver from the U.S. Department of Homeland Security (DHS). A formal written justification for the equipment must be submitted to the SAA who will forward the justification to DHS. This investment justification must include: the reason why there is a need for the equipment, how the purchase will support the State Homeland Security Strategy, the price of the equipment, the grant year and grant number. The grant number is available from the SAA. The SAA will notify the subgrantee of DHS's decision.

H.   **Maintenance, Warranties and Service of Equipment**

Grant funds may be used for maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees for equipment that has been purchased with federal funds. The SAA must approve these costs prior to expenditure.

Supplanting is not allowed by federal law. Maintenance contracts, warranties, repair or replacement costs, upgrades, and user fees previously purchased with State and or local funds cannot be replaced, supplanted, with Federal grant funding.

I.   Marking Equipment

Subgrantees will mark equipment purchased with funding from the SD Office of Homeland Security with a U.S. Department of Homeland Security identifier.

Equipment items that <u>must be</u> marked include:

- All Vehicles
- Trailers
- Generators
- Communication towers
- Other equipment that can feasibly be marked

Equipment that <u>does not</u> require marking includes:

- Portable communications equipment such as radios and phones
- Search and rescue equipment
- Decontamination equipment
- Personal protection equipment
- Hand tools
- Disposable equipment

<center>**Section 6**</center>

<center># Property Management</center>

A.   Property and Equipment Records

Federal guidelines and regulations require subgrantees to be prudent in the acquisition and management of property acquired with federal funds. Subgrantees must assure an effective system for property management exists.

1. Subgrantee Inspection of Equipment

    It is the responsibility of the subgrantee to inspect equipment upon receipt. The subgrantee is permitted to delegate the responsibility of inspecting the equipment to the end-user. If the equipment is not inspected upon receipt and, at a later date, the equipment is found to be faulty or the order incomplete, the subgrantee will assume responsibility for all costs (including original invoiced amount, shipping, handling, re-stocking and/or applicable taxes) related to replacing or repairing the damaged, incomplete, or incorrect equipment. When such equipment cannot be replaced or repaired, the SAA will take steps to recover these costs from the subgrantee since they are unallowable under the federal grant guidelines.

2. Equipment Transfer/Disposal Form

    A subgrantee must inform the SAA within <u>30</u> days when transferring or disposing of equipment. Subgrantees must submit all such changes on the Equipment Transfer/Disposal Form, available on the SD Office of Homeland Security website at http://dps.sd.gov/homeland_security/homeland_security_grants.aspx and retain a copy of the form in the applicable federal grant file and in the agency's capital asset inventory.

3. Subgrantees must maintain mileage logs for vehicles procured with federal funds. The SAA may request mileage records at any time for a vehicle procured with federal funds to verify allowable vehicle use.

4. Subgrantees are required to provide proper training to those assigned to use equipment purchased with federal funds.

B.   Equipment Inventory System

A subgrantee must maintain a capital asset/equipment inventory system for items that cost $5,000 or more and are purchased as per 44 CFR § 13.32. The SAA is required to monitor capital assets/equipment; monitoring is described in a subsequent section of this manual.

1. Subgrantees are required to maintain accurate property and equipment records. These property and equipment records shall include:

    a. Description of the property (including make and model)
    b. Manufacturer's serial number or other identification number
    c. Vendor (source of the property)
    d. Acquisition date

e. Cost of the property
f. Percentage of federal participation in the cost of the property
g. Location of the equipment
h. Use and condition of the equipment as of the date the information is reported
i. Ultimate disposition including the date of disposal, sale, or transfer

2. Conduct a Physical Equipment Inventory

Federal policy requires equipment purchased with federal funds to be inventoried every two years. Equipment must be tracked beyond the performance period of the reimbursement agreement, continuing until the end of the equipment life cycle.

Equipment should be inspected for a U.S. Department of Homeland Security identifier as described above.

3. Implement Safeguards to Prevent Loss, Damage or Theft of Equipment

Equipment must be safeguarded to ensure prevention of loss, damage, or theft of the property. A subgrantee must submit a description of its control system either in its grant application or when otherwise requested by the SAA. Subgrantees are responsible for replacing or repairing the property which is willfully or negligently lost, stolen, damaged or destroyed. Any loss, damage or theft of the property must be investigated and fully documented, and made part of the official grant record. The investigation report and documentation shall be submitted to the SAA and kept in the agency's grant file.

4. Implement Equipment Maintenance Procedures

The end user of equipment must implement maintenance procedures to keep the property in good condition. Evidence of maintenance procedures will be reviewed as part of the monitoring process.

5. Disposition of Equipment

If equipment is disposed of, sold, or transferred, the subgrantee must notify the SAA by completion and submission of the Equipment Transfer/Disposal Form available on the SD Office of Homeland Security website at http://dps.sd.gov/homeland_security/homeland_security_grants.aspx .

Equipment cannot be sold for profit. See the Records Management section of this manual, contact the SAA, or see CFR 44 13:32 for more information about disposal and sale of equipment.

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Section 7

Allowable Costs

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A.   **General**

The SAA will only approve expenditures that are allowable per the federal guidelines from the federal Department of Homeland Security or other applicable grant program.

Not all categories listed in the Authorized Equipment List (AEL) are allowable expenditures under all grant programs. Refer to specific grant program guidelines and the grant allowability link at https://www.rkb.us/ for the equipment item on the AEL. The SAA must approve allowable expenditures; approval is based on the AEL, state priorities, and funding available.

B.   **Basic Principles on Unallowable Costs**

Costs that are not allowable include, but are not limited to, the following:

- "Thank you" Gifts/Souvenirs/Awards/Dinners
- General use software, computers, website development, and related equipment
- General use vehicles, fuel, licensing fees and operational costs
- Vehicle registration fees
- Weapons and ammunition
- Hiring of public safety personnel for duties that aren't specific to Homeland Security
- Overtime for public safety personnel for duties that aren't specific to Homeland Security
- Construction and renovations
- Equipment not listed on the AEL
- Insurance policies
- Mileage for vehicles purchased with federal grant funds (actual fuel costs are allowable)
- Program income, i.e., generating income as a result of the grant funded activities
- Magnetic signage for vehicles
- Costs incurred in order to comply with local or state requirements

C.   **Basic Principles on Allowable Costs**

Allowable costs include, but are not limited to, the following expenses if specific to Homeland Security activities:

- Cost of meetings and conferences if the primary purpose is the dissemination of technical information relevant to Homeland Security. This includes rental of facilities, speaker's fees and other items incidental to such meetings or conferences.
- Travel expenses for federal grant-related training and exercises.
- Contractor expenses for approved training and exercises.
- Overtime and backfill salaries (for the individuals providing shift coverage for those participating in SAA approved training and exercises).
- Equipment listed as allowable on the AEL as part of a pre-approved project that aligns with the state's investment justifications.
- Public education and outreach.

- All procurement proposals for professional services must be obtained in writing and kept in the subgrantees grant file, available to the SAA upon request.

D.   Goods and Services

A. Reimbursement for meals, mileage, lodging, and other travel expenses will follow State policy; allowances are shown below. Non-state employees may not be able to access lodging at rates available to state employees but they are expected to obtain reasonable lodging rates when requesting reimbursement.

Maximum Meal Allowable	In-State	Out-of-State	When Leaving Before	When Returning After
Breakfast	$5.00	$8.00	5:31 AM	7:59 AM
Lunch	$9.00	$11.00	11:31 AM	12:59 PM
Dinner	$12.00	$17.00	5:31 PM	7:59 PM
Total Per Day	$26.00	$36.00		

Reasonable expenses for non-alcoholic beverages at meetings, trainings, and exercises are allowable in addition to reimbursement for meals.

Reimbursement for mileage or fuel can be made at the following rates.

Mileage/Fuel
Private Vehicle – reimbursement at a maximum of $0.37 per mile
Government Vehicles – reimbursement for fuel costs with receipts

2. Office expenses, supplies, and support services

Office expenses, supplies, and support services are allowable provided that documentation is submitted that supports the necessity to approved grant projects.

3. Personnel Costs

a. Direct costs related to management and administration of the grant program including salaries and fringe benefits are allowable. A "Direct Charge Certification" form, available from the SAA, must be completed and submitted semi-annually for personnel paid from Office of Homeland Security funds; if not paid for full-time services, timesheets and payroll records documenting hours worked are required for reimbursement.

b. Direct costs related to planning, training and exercises of the grant program including the salaries and fringe benefits for personnel including planners, trainers, and exercise officers are allowable.

c. Allowable training costs for applicable federal grants include overtime and backfill costs associated with attendance at federally funded and approved training courses (unless otherwise indicated by applicable grant guidance.)

E.   Travel

a. The subgrantee is responsible to ensure that all travel submitted for reimbursement is eligible under the appropriate year grant guidance. If the subgrantee does not have an agency required form to summarize travel costs for grant activity participants, the subgrantee may use the SD Office of Homeland Security, Travel Detail Worksheet form available on the SD Office of Homeland Security website at http://dps.sd.gov/homeland_security/homeland_security_grants.aspx .

b. Travel expenses must follow current State rates described in this manual.

Documentation for travel must include:

a. Unit cost for each traveler (departure and return times; destinations; airfare; lodging; meals, ground transportation to program activities, and other allowable expenses).

b. Purpose of travel as it relates to program activities.

c. Copy of the agenda or registration form.

d. If cost is for a group training or exercise, a roster of attendees is required.

e. Meals will be reimbursed based on departure and return times; receipts for meals are not required.

f. Unallowable: entertainment charges, tobacco, alcohol or bar charges, laundry charges, visa or passport charges, tips, phone calls, personal hygiene items, in-room movies, magazines, personal transportation (other than to program activities), travel insurance, credit card fees.

F.   Reimbursement

Allowable expenses are paid on a reimbursement basis. A Payment Request Form available on the SD Office of Homeland Security website at http://dps.sd.gov/homeland_security/homeland_security_grants.aspx must accompany appropriate documentation for reimbursement.

Training and Exercises

A.   General

The Department of Public Safety (DPS) will sponsor statewide and regional trainings; scheduled trainings will be available on the DPS website. More information is available by calling the SAA (see resource page) or the Office of Emergency Management Training and Exercise Coordinator at 605 773-3231.

Training conducted with U.S. Department of Homeland Security funding must demonstrate linkage to a target capability and be applicable to the state homeland security investments. The portion of the State Homeland Security Grant funds allocated to law enforcement may be used for a range of law enforcement terrorism prevention related training and equipment to enhance the capabilities of state and local law enforcement personnel.

Training for citizens in preparedness, prevention, response skills, and volunteer activities is coordinated through local Citizen Corps Councils (CCP), under the administration of the Office of Emergency Management, CCP Coordinator. Please refer to applicable federal grant guidelines for allowable training costs, approved courses, and reporting requirements or contact the CCP Coordinator for technical assistance.

B.   ICS Instructor Qualifications

FEMA requires instructors to have appropriate credentials to teach ICS courses. Instructors must meet the following standards for ICS training to be reimbursed through the SAA.

The Department of Public Safety must verify instructor qualifications before reimbursement will be paid.

ICS-100: Instructor Qualifications (also available online)

1.   Successful completion of accredited ICS-100, ICS-200, and IS-700.A.
2.   Service in a mid-level emergency management and incident response position within five years in real-world incidents, planned events, or accredited exercises.
3.   Recognized qualifications in techniques of instruction and adult education methodologies.

ICS-200: Instructor Qualifications (also available online)

1.   Successful completion of accredited ICS-100, ICS-200, IS-700.A, and IS-800.B.
2.   Service in a mid-level emergency management and incident response position within five years in real-world incidents, planned events, or accredited exercises.
3.   Recognized qualifications in techniques of instruction and adult education methodologies.

ICS-300: Instructor Qualifications

1.   Successful completion of accredited ICS-100, ICS-200, ICS-300, ICS-400, IS-700.A, and IS-800.B.

2. Service in a mid-level incident management position within five years in real-world incidents, planned events, or accredited exercises.
3. Recognized qualifications in techniques of instruction and adult education methodologies.

<u>ICS 400: Instructor Qualifications</u>

1. Successful completion of accredited ICS-100, ICS-200, ICS-300, ICS-400, IS-700.A, and IS-800.B.
2. Service in a mid-level emergency management and incident response position within five years in real-world incidents, planned events, or accredited exercises.
3. Recognized qualifications in techniques of instruction and adult education methodologies.

C.   Standards for Exercise Coordinators

Exercise coordinators are required to have taken the following courses to be reimbursed through the SAA as compensation for coordinating exercises.

The following online courses are required and available as independent study courses through the Emergency Management Institute at http://training.fema.gov/IS/ .

1. IS-100.b or equivalent   Introduction to Incident Command System
2. IS-120.a   An Introduction to Exercises
3. IS-130   Exercise Evaluation and Improvement Planning
4. IS-200.b or equivalent   ICS for Single Resources and Initial Action Incidents
5. IS-230.b   Fundamentals of Emergency Management
6. IS-700.a   NIMS An Introduction
7. IS-800.b   National Response Framework, An Introduction

The following courses are required and are classroom courses, not available online. Please contact the Department of Public Safety for available courses.

1. IS-300   Incident Command System, Intermediate
2. IS-400   Incident Command System, ICS, Advanced

Recommended courses, any HSEEP course such as:

HSEEP Training Toolkit Course
HSEEP Training Course L-146
HSEEP Train-the-Trainer Course L-147

D.   HSEEP National Exercise Standard

Exercises that are reimbursed by the SAA must be compliant with the Homeland Security Exercise and Evaluation Program (HSEEP). HSEEP is a national standard for all exercises.

Through exercises, the National Exercise Program supports organizations to achieve objective assessments of their capabilities so that strengths and areas for improvement are identified, corrected, and shared as appropriate prior to a real incident.

Exercises must be posted to the National Exercise Schedule System (NEXS) found on the HSEEP website and must follow the HSEEP Tool Kit. To access the HSEEP website, HSEEP toolkit, and NEXS, please see https://hseep.dhs.gov/ .

E.   **Reimbursement for Training and Exercises**

    1. The subgrantee that *hosts* a training event must provide:

        a. Name and contact information of the instructor(s)
        b. Instructors must be credentialed by the SD Department of Public Safety by supplying required certifications for teaching courses listed above
        c. An agenda or course curricula
        d. Legible class roster with each individual's affiliation
        e. Make a portion of class participant slots open to other jurisdictions
        f. Course evaluations must be available upon request by the SAA

    2. To be reimbursed for attending *independent training events*, the subgrantee must provide documentation of the event including:

        a. agenda or syllabus that describes the Homeland Security justification
        b. copy of the registration or invitation letter showing the instructor(s) contact information
        c. Travel Payment Detail form or local equivalent form with any required receipts
        d. signed Payment Request Form

<p style="text-align:center">Section 9</p>

Fiscal Responsibility

A.   Quarterly Balances

Subgrantees will receive a copy of their grant balances on a quarterly basis from the SAA. Subgrantees must confirm the accuracy of the information. If there are any discrepancies, the subgrantee must report them to the SAA within 10 working days.

B.   Reimbursement Request

Payment requests will be returned unprocessed to the subgrantee if they are incomplete.

Reimbursement requests must be submitted from the subgrantee to the SD Office of Homeland Security within **45** days of the expenditure. Subgrantees failing to meet this requirement, without prior written approval, are subject to de-obligation of funds.

The following items must be included with the Payment Request Form:

1. Payment Request Forms must have a signature verifying the receipt of the goods or services.

2. Indicate the grant year you are drawing the funds from and the funding category such as discretionary, Law Enforcement Terrorism Prevention Program, Lead, etc.

3. Do not submit more than one year and funding category on each form

4. Travel and training receipts for hotels, registration, fuel, contractors, etc.

5. Invoices – we cannot accept proposals

6. Rosters for all trainings and exercises

7. An agenda or outline of the curricula for all trainings, conferences, and exercises

8. Travel reimbursement requests must include departure and arrival times, meals and lodging claimed, and mileage or fuel costs to and from the training event. If an agency does not have its own travel reimbursement form, a Travel Detail Worksheet is available to use on the SD Office of Homeland Security grant forms webpage at http://dps.sd.gov/homeland_security/homeland_security_grants.aspx .

C.   Expenses Must Have Prior Approval

The SAA requires that all expenditures be fully documented and must be on the approved budget detail worksheet or approved application budget. The total reimbursement of expenditures will not be paid beyond the federal amount awarded.

D.   Supplemental Documentation

1. Personnel

A "Direct Charge Certification" form, available from the SAA, must be completed and submitted semi-annually for personnel paid from Office of Homeland Security funds; if not paid for full-time services, timesheets and payroll records documenting hours worked are required for reimbursement. An employee time record must be completed for each person paid for part-time work on the grant. Submit actual expenses from your payroll records. Federal regulations prohibit the practice of charging the grant according to the amount derived from dividing the personnel costs reflected in the grant by the number of months in the grant.

2. Travel

   The SD Office of Homeland Security will reimburse travel expenses at the current South Dakota state travel reimbursement rates. Travel expenses must have prior approval through inclusion in the grant application and budget detail worksheet or other written approval from the SD Office of Homeland Security.

   Subgrantees must provide a completed Travel Detail Worksheet or approved equivalent form with receipts for lodging, airfare, ground transportation, registration fees, and miscellaneous allowable expenses. For private vehicles, mileage will be calculated by distance traveled and meals are reimbursed based on departure and return times. Please see Section 6 Allowable Costs above.

E.   Match Requirements

If applicable to the subgrantee grant award:

1. Match is restricted to the same use of funds and compliance requirements as are expenditures reimbursed by federal funds.

2. Cash match and in–kind contributions/match must be used for allowable costs in compliance with federal regulations and grant program guidance.

3. Federal funds cannot be used to match other federal funds. State and local funds can match federal funds.

4. Matching funds and contributions must be in addition to and supplement funds that would otherwise be available for the grant project activity.

5. Documentation for matching funds is the same as for reimbursable expenditures.

F.   Federal Funding Accountability and Transparency Act (FFATA)

1. Direct recipients and subaward recipients must comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), as amended by section 6202(a) of the Government Funding Transparency Act of 2008 (Public Law 110-252).

2. FFATA requires disclosure to the public of federal spending through a single searchable database, www.USAspending.gov .

3. New federal awards of $25,000 or more as of October 1, 2010, are subject to FFATA requirements.

a. Subawards greater than $25,000 must provide name of awardee, amount, funding agency, CFDA federal grant number, descriptive award title, location of awardee, Dun & Bradstreet DUNS number of awardee, and

b. Compensation and name of top five executives if 1) 80% of more of annual gross revenues are from federal awards and $25,000,000 or more in annual gross revenues are from federal awards, and 2) compensation information is not already available through reporting to the Securities and Exchange Commission.

c. Classified information is exempt as are contracts with individuals.

d. Recipients of SD Office of Homeland Security reimbursement agreements are required to provide to the State all information required by FFATA.

Monitoring

A.   **Purpose**

The Office of Homeland Security, as a federal grantee, is responsible for monitoring subgrantees to ensure fiscal, compliance, and programmatic responsibilities are fulfilled based upon the regulations cited in Code of Federal Regulations, Title 44.

B.   **Overview**

A monitoring team is composed of members of the SD Office of Homeland Security and other representatives of the SD Department of Public Safety. The team monitors the subgrantees' activities from award to closeout. Monitoring federal grants includes programmatic, financial, and capital/fixed asset (equipment) monitoring.

C.   **On-Site Monitoring**

The monitoring team will contact the subgrantee to schedule an on-site monitoring visit, briefing the subgrantee on what monitoring areas and equipment assessed at $5,000 or over will be monitored. The subgrantee will be asked to provide equipment location information in advance of the site visit to ensure on-site time is focused on monitoring assets instead of spending time locating said equipment. In addition, the monitoring team may request a copy of the agency's capital asset/equipment, property disposition, and procurement policies prior to the monitoring visit.

The monitoring team will visit the site where equipment that has been purchased with federal grant funds is located. The equipment will be inspected for proper marking as directed by federal regulations including inventory coding, security, maintenance logs, use logs and equipment condition.

If the subgrantee has received subgrants under several programs, all program grants are reviewed and monitored at the same time if possible.

D.   **Desk Monitoring**

The monitoring team may choose to accomplish programmatic and financial monitoring by reviewing files and other documents relevant to a reimbursement agreement or other SAA funded project. Desk monitoring will include discussions with the subgrantee over the phone or via email rather than face-to-face as described in on-site monitoring above.

Records Management

A. General

Records management practices will be included in monitoring to ensure minimum requirements are achieved and maintained. All records must be kept for a minimum of three years after the grant closes unless superseded by federal or state statute. Equipment records must be maintained for the life of the equipment and after disposition of the equipment for three years.

Equipment valued at $5,000 or more at time of purchase is considered a capital asset and subject to specific federal property regulations. Please reference relevant sections of this manual and the Code of Federal Regulations, Title 44 Part 13.

B. Property

Property records (including equipment) must be maintained that include a description of the property, a serial number or other identification number, the source of property, who holds title, the acquisition date, and cost of the property, percentage of Federal participation in the cost of the property, the location, use and condition of the property, and any ultimate disposition data including the date of disposal and sale price of the property.

At least once every two years, the subgrantee is required to perform a physical inventory of the property and reconcile the results with the property records. As described above, equipment must be marked with a U.S. Department of Homeland Security identifier.

A control system must be developed to ensure adequate safeguards to prevent loss, damage, or theft of the property. Any loss, damage, or theft shall be investigated.

Adequate maintenance procedures must be developed to keep the property in good condition.

If the grantee or subgrantee is authorized or required to sell the property, proper sales procedures must be established to ensure the highest possible return.

When original or replacement equipment acquired under a grant or subgrant is no longer needed for the original project or program or for other activities is currently or previously supported by Federal agency, disposition of the equipment will be made as follows:

1. Items of equipment with a current per-unit fair market value of less than $5,000 may be retained, sold or otherwise disposed of with no further obligation to the SAA.

2. Items of equipment with a current per-unit fair market value in excess of $5,000 may be retained or sold and the SAA shall have a right to an amount calculated by multiplying the current market value or proceeds from sale by the SAA's share of the equipment.

3. Equipment may be transferred to another agency with written approval from the SAA. Disposal, sale, or transfer of property must be documented with the execution of the Equipment Disposal/Transfer Form available on the SD Office of Homeland Security website at http://dps.sd.gov/homeland_security/homeland_security_grants.aspx . A copy of

the Equipment Disposal/Transfer Form must be retained for the useful life of the equipment which may extend beyond the grant period and required three year record retention.

C. Grant Files

The SD Office of Homeland Security and subgrantees must maintain accounting records in accordance with generally accepted accounting principles, which will ensure that federal and any matching funds are accounted for adequately. The minimum requirements for such records are explained below.

In addition to complying with regular accounting principles followed by the subgrantee, the subgrantee must maintain an organized subgrant file with the following information:

1. A copy of the approved application submitted to the SAA.

2. Copy of the award document, approved budget items, revision requests, and special conditions.

3. Copies of all reimbursement requests.

4. For items $25,000 and above, copies of verification that individual or agencies are not on the Excluded Parties List verification.

5. Copies of the grant funded capital asset inventory and Equipment Disposal/Transfer Forms (or local agency equivalent transfer forms).

6. Copies of all time and attendance documentation for grant funded personnel.

7. Copies of monitoring reports completed by the SD Office of Homeland Security.

8. Copies of EHP approvals for mandatory items.

9. Copies of all grant related correspondence and documentation.

    Financial files:

    a. Copies of all financial reports, including balance reconciliation documentation, and copies of corresponding invoices and proof of payment documents.

    b. Copies of completed audits which are relative to the grant project.

Section 12

Grant Closeout

A.   Grant Closeout Timeline

All expenditures must be incurred by the subgrantee before the close of the grant award period. Requests for reimbursement must be received by the SD Office of Homeland Security within <u>45</u> days of the end of the grant award period. The SD Office of Homeland Security has no obligation to reimburse requests for payments received after <u>45</u> days after the end of the grant award period. Final reimbursement will be processed when all required documentation has been received.

Awarded funds not expended within the grant period will be de-obligated by the SD Office of Homeland Security. De-obligated funds may be reallocated through an independent application and award process.

The closeout of a grant does not affect the SAA's right to disallow costs and recover funds based on a later audit.

Subgrantees are required to retain grant records and documentation for a minimum of three years unless superseded by federal or state statute after the final reports are submitted. The SD Department of Public Safety, the federal awarding agency, and the Comptroller General of the United States, or any of their authorized representatives, shall have the right of access to any pertinent books, documents, papers, or other records of grantees and subgrantees which are pertinent to the grant, in order to make audits, examinations, excerpts and transcripts.

Subgrantees who expend $500,000 or greater in federal funds in a fiscal year are required to comply with the Single Audit Compliance regulation in OMB Circular A-133.

Forms and Resources

Forms and resources relative to Homeland Security grant programs are available on the following website: http://dps.sd.gov/homeland_security/homeland_security_grants.aspx

Additional federal grant regulations and policies relevant to Homeland Security grants are available at the following links.

- Federal OMB Circulars may be viewed on the Office of Management and Budget website at http://www.whitehouse.gov/omb/circulars_default/

- The Code of Federal Regulations may be viewed on the Electronic Code of Federal Regulations website at http://www.gpoaccess.gov/cfr/

- FEMA List of Acronyms: http://www.fema.gov/pdf/plan/prepare/faatlist07_09.pdf

- The following website accesses to the FEMA Authorized Equipment List: https://www.rkb.us/FEMAGrants/DisplayFEMAGrants.cfm

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